



Creating a Conflict Minerals Declaration (CMD) in CDX

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About this Tutorial



The CDX User Manual contains concise information explaining the CDX system, yet assumes familiarity with the industry principles involved. This tutorial and similar supplemental materials provide in-depth, step-by-step instruction on how to accomplish specific business operations using CDX.

Creating a new CDX CMD

- Introduction
- Initiation
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- Details Section – Conflict Free Policy
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- Adding Smelters (2 of 3) – New Alleged Smelters
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- Adding Smelters (3 of 3) – From suppliers
- CMD Submission Preparation
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Conflict Mineral Declaration (CMD)

In July, 2010 the U.S. Congress passed the Wall Street Reform, which includes Section 1502 requiring companies which use tin, tungsten, tantalum, or gold in their products or production and who report to the U.S. Securities and Exchange Commission (SEC) to file an annual report detailing mineral origin. These four minerals and their derivatives are known as Conflict Minerals, regardless of their source. The goal of Section 1502 is to reduce funding for conflict in the DRC (Congo) and surrounding nations.

In August 2012 this rule went into effect and the terms became available. First reports for minerals used **during CY 2013** must be filed May 31, 2014. There is no provision for fiscal year adjustment.

While specifically naming U.S. SEC reporting companies, such companies must obtain information from supply chain companies which provide or may provide these minerals. Most of these companies are well into the solicitation and response cycle for their supply chain. Suppliers are asked to:



Conflict Mineral Declaration (CMD)

- Determine the components they supply which use conflict minerals or their derivatives.
- Work with their suppliers to map supply chains of those components.
- Identify mineral sources, or verify the conflict minerals origin is scrap or recycled material.

CDX now offers a Conflict Minerals Declaration (CMD) Manager™ to assist with reporting. Based upon the standard EICC-GeSI Declaration template, the CMD Manager contains everything necessary to receive, retain, aggregate and adjust supplier submissions and create the necessary CMD Reporting. Additional capabilities are in development to further streamline and simplify these processes.



CDX Approach on Smelters

There is no comprehensive list of world smelters of these minerals.
Nor is there expected to be such a list anytime soon.

CDX uses a multi-pronged approach to provide the best smelter information currently available:

- [EICC-GeSI Certified Conflict Free Smelters](#)
- [EICC-GeSI Known Smelters](#)
- [CDX Self-Registered Smelters](#)
- [Supplier Alleged Smelters](#)
- [Invalid Smelters \(Providers commonly mistaken as smelters\)](#)





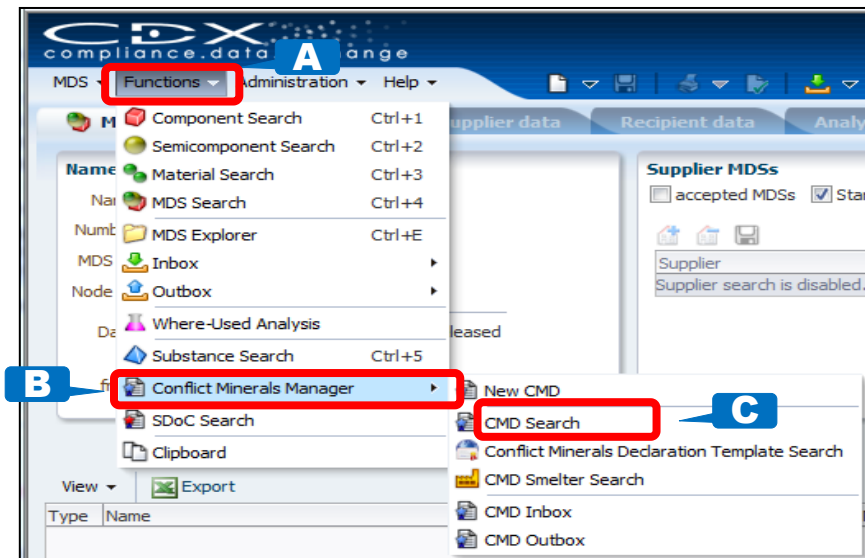
Create a New CMD - Initiation

Starting a new CMD

- If you have an existing EICC-GeSI Template CMD, see the next page.
- There are two CDX methods to begin a new CMD.

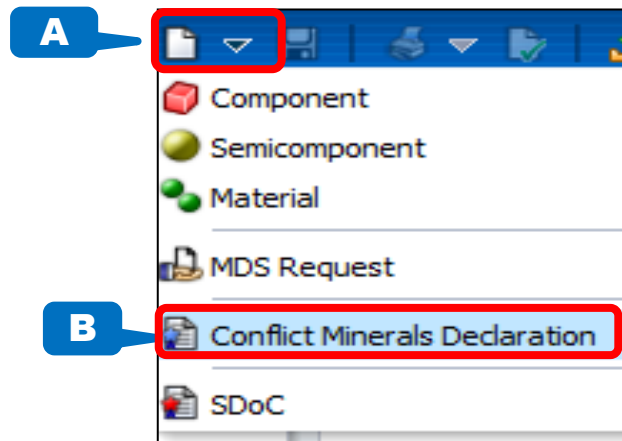
1. Navigate the menus:

Functions > Conflict Minerals Manager > New CMD



2. Using the toolbar:

New > [File Icon] > Conflict Minerals Declaration

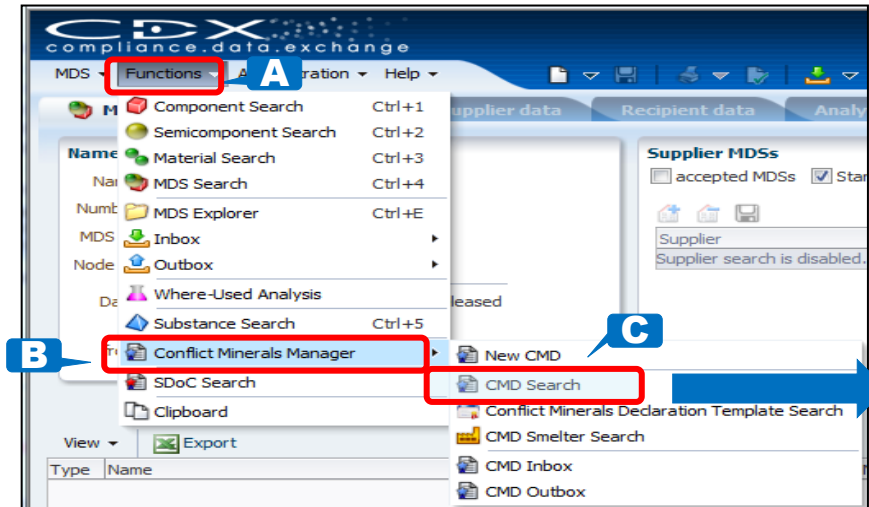


Create a CDX CMD from an EICC-GeSI Template file

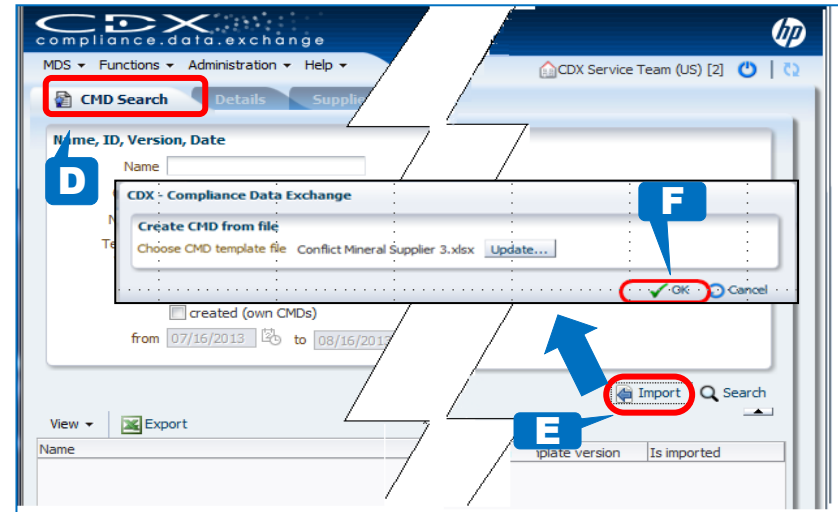
- To import an existing EICC-GeSI Template file as your Company's CMD:
 1. Ensure the Contact Name and E-mail in both CDX and Template agree.
 2. Ensure the Contact Name and E-mail in both CDX and Template agree.

Navigate the Menus:

Functions > Conflict Minerals Manager > CMD Search>

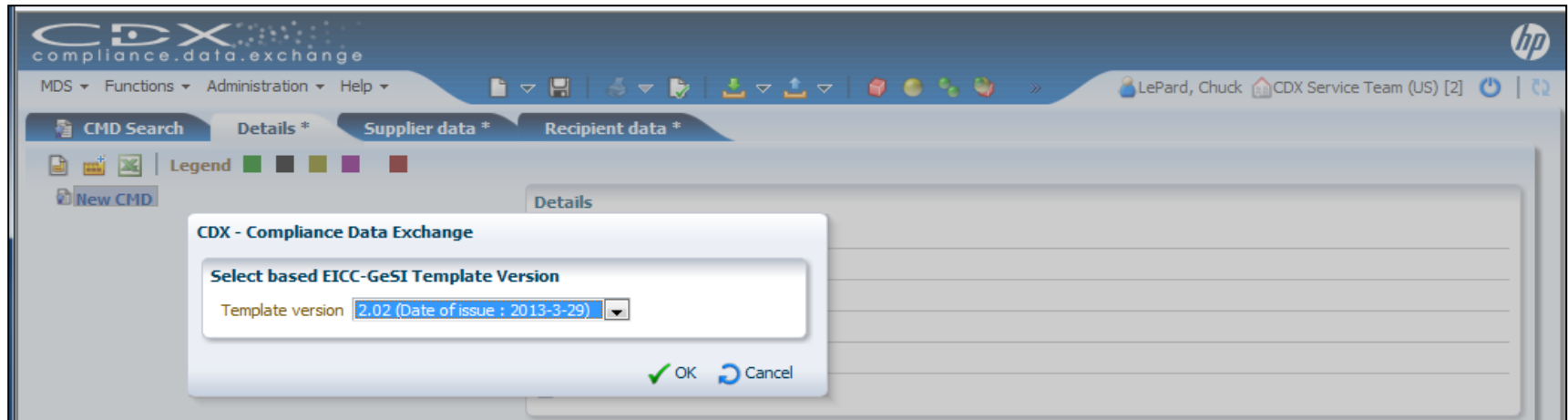


- On the CMD Search Screen, Select Import.
- In the resulting popup, select the file and select **OK**.



Specify EICC-GeSI Template Version

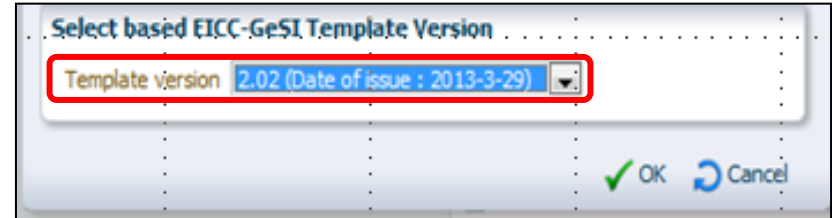
- Creating a CMD is a multi-step process. The CDX CMD Manager steps through this process in a clear fashion while allowing to skip steps which may not apply.
- The first step is to choose the EICC-GeSI CMD Template upon which to base the CMD. In most cases, the most recently released template version with the highest version number is the best selection.



Potential Confusion: Version Numbers

EICC-GeSI CMD Templates are released with “Template Version numbers”.

- Right of the decimal is a minor change.
- Left of the decimal is a major change.



CDX CMDs have “Version numbers”.

- Right of the decimal is the number of internal edits upon a whole version.
- Whole number versions are “Released” CMDs which cannot be edited.

Name	ID / Version
CDX CMD Demonstration	1280 / 0.01
CDX Sample Conflict Minerals Declaration	1462 / 0.01
Conflict Mineral Supplier 2a	1463 / 1

These two sets of version numbers are not related, except in the general sense that each indicates the number of revisions performed upon the item in question.

One EICC-GeSI Template version may be used to create many CMDs.
Each CMD will have a unique CMD ID / Version combination.

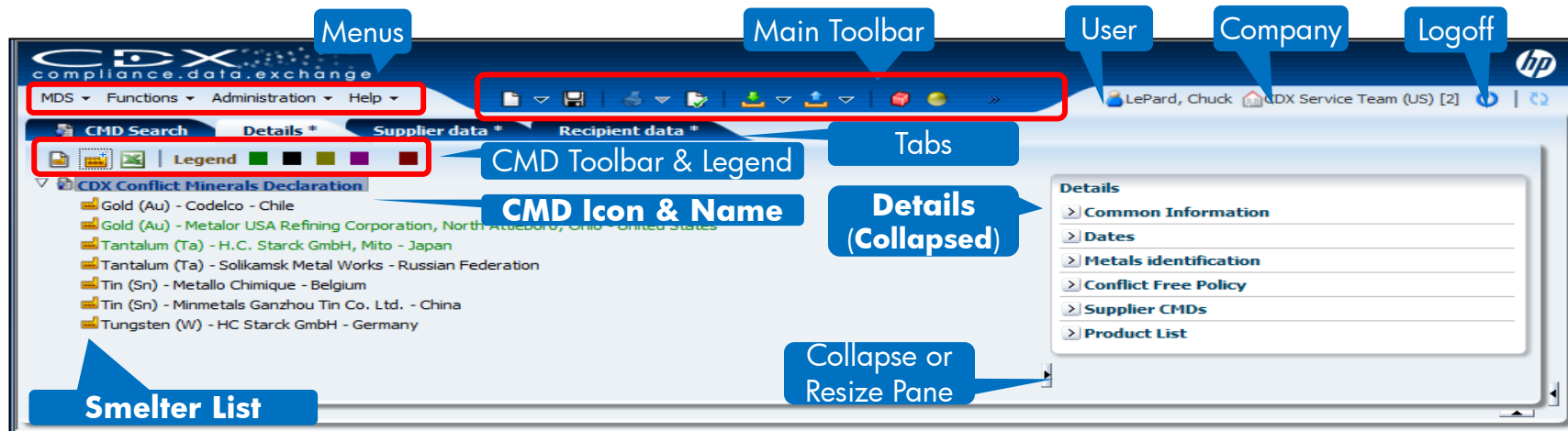
The CDX CMD Screen Layout

There are three primary areas in a CMD: the Icon & Name, Smelter List and Details.

- The CMD Details tab displays the CMD Icon and Name at the top left.
- The Smelter List is created, viewed, and items are selected below the CMD.
- Selected CMD or Smelter Details are viewed and edited at right in collapsible panes.

Toolbars and menus provide actions. Top right labels are informational, except the Logoff button.

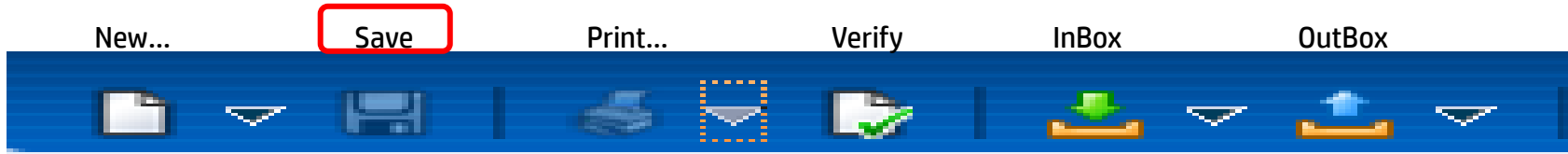
Additional panes open below or at right as needed, and can be resized or closed.



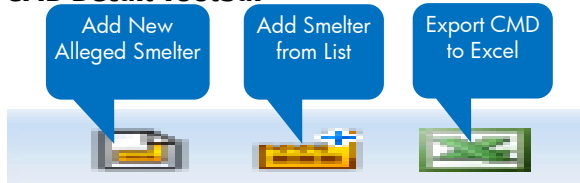
The Toolbars

- CDX CMD makes use of Toolbars for important or frequently used features.
Menu items are disabled or “greyed out” when not available.
- “Context Menus” accessed by performing a right mouse-click upon an icon such as a CMD or a smelter often provide additional situation-specific features.
- A CMD can be saved when the toolbar **Save** icon is enabled.
- The following identify some key screen elements.

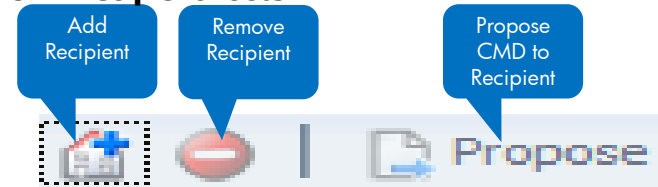
Main Toolbar



CMD Detail Toolbar



CMD Recipient Toolbar



Common Information

* Denotes Required Fields

To begin work on the new CMD, expand the Details pane “Common Information” section.

Sections other than the one being completed can be closed or left open while working.

Type	Display: Conflict Minerals Declaration
Template Version	Display: The EICC-GeSI template version selected in the previous step
Declaration Scope*	Company, Division, Product Group, or Product. See notes on next slide.
Desc. of Scope*	The portion of the organization to which the CMD applies
Supplier*	The company providing the CMD. In this case, the User’s Company
Name*	Specify a name for the CMD to make it easier to identify in searches.

The screenshot shows a software window titled "CDX CMD Demonstration". On the left is a "Legend" with colored squares. The main area is a "Details" pane with a tree view. The "Common Information" section is expanded, showing the following fields:

- Type: Conflict Minerals Declaration
- Template version: 2.02
- Declaration Scope: A. Company Level (dropdown menu)
- Description of Scope: One CMD containing Conflict Mineral information for the entire organization (text area)
- Supplier: CDX Service Team (US)
- Name: CDX CMD Demonstration

Below the "Common Information" section are several collapsed sections: Dates, Metals identification, Conflict Free Policy, Supplier CMDs, and Product List.



Declaration Scope - Product Level Reporting

- If the CMD Declaration scope is Company, Division, or Product Group, the CMD Details tab is complete with the Smelters list and completed Details sections for Common information, Metals Information, Conflict Free Policy, & Supplier CMDs.
- If the Declaration scope is Product, the “Product List” section must be completed, and the Smelter Product Information should be completed with part numbers.
- CDX provides the **Browse** button to upload a .txt file product catalog. Products loaded on this screen should be associated to specific smelters.

The screenshot displays the CDX (Conflict Disclosure Explorer) interface. The top section, titled "Product List", includes a red instruction: "Completion required only if reporting level 'Product-level' is selected". Below this, there are controls for "View" (a dropdown), a green plus icon, a red minus icon, an "Upload" button, and a "Browse..." button which is highlighted with a red rectangle. A table below these controls lists product entries:

Product/Item Number	Product/Item Description	Comments
12345	Sample Product 12345	
23456	Sample Product 23456	

The bottom section of the interface shows a tree view on the left under the heading "CDX Sample Conflict Minerals Declaration". It lists several items, with "Gold (Au) - Metalor Technologies (Hong Kong) Ltd - China" selected. To the right of the tree is a "Details" panel with expandable sections: "Common Information", "Dates", "Conflict Free Declaration", and "Product information" (which is currently expanded). Below the "Product information" section is a "Comments" label followed by a text input field.

View Date Information

- Create Date Display: Date CMD was first saved
- Release Date Display: Date this version was release.
Once released, a CMD is “Frozen”.
A new version must be created to make further changes
- Check Date Display: Most recent date this CMD version was checked for errors





Create a New CMD – Metal Identification

Metal Identification

- The questions and the number of questions in the Metals identification section vary depending upon the EICC-GeSI template version selected.
- All answers are required, unless the answer is “No” for Question 1 for a metal, in which case subsequent responses for that metal are not permitted.
- All questions have the same format, are asked for each mineral, and appear in the same order for every question:
- Tantalum
- Tin
- Gold
- Tungsten
- The individual questions in version 2.02 are discussed on the following pages.

☑ **Metals identification**

1. Are any of the following metals necessary to the functionality or production of your company's products that it manufactures or contracts to manufacture? If no for all metals, you are done with this survey.

No.	Metal	Answer	Comments
1	Tantalum	<input type="button" value="v"/>	
2	Tin	<input type="button" value="v"/>	
3	Gold	<input type="button" value="v"/>	
4	Tungsten	<input type="button" value="v"/>	

2. Do the following metals (necessary to the functionality or production of your company's products) originate from the DRC or an adjoining country?

No.	Metal	Answer	Comments
1	Tantalum	<input type="button" value="v"/>	
2	Tin	<input type="button" value="v"/>	
3	Gold	<input type="button" value="v"/>	
4	Tungsten	<input type="button" value="v"/>	

3. Do the following metals (necessary to the functionality or production of your products) come from a recycler or scrap supplier?

No.	Metal	Answer	Comments
1	Tantalum	<input type="button" value="v"/>	
2	Tin	<input type="button" value="v"/>	
3	Gold	<input type="button" value="v"/>	
4	Tungsten	<input type="button" value="v"/>	

4. Have you received completed Conflict Minerals Reporting Templates from all of your suppliers?

No.	Metal	Answer	Comments
1	Tantalum	<input type="button" value="v"/>	
2	Tin	<input type="button" value="v"/>	
3	Gold	<input type="button" value="v"/>	
4	Tungsten	<input type="button" value="v"/>	

5. For each of the following metals, have you identified all of the smelters your company and its suppliers use to supply the products included within the declaration scope indicated above?

No.	Metal	Answer	Comments
1	Tantalum	<input type="button" value="v"/>	
2	Tin	<input type="button" value="v"/>	
3	Gold	<input type="button" value="v"/>	
4	Tungsten	<input type="button" value="v"/>	

6. Have all of the smelters used by your company and its suppliers been validated as compliant in accordance with the Conflict-Free Smelter (CFS) Program and listed on the Compliant Smelter List for the following metals? [Link to "CFS Compliant Smelter List"](#)

No.	Metal	Answer	Comments
1	Tantalum	<input type="button" value="v"/>	
2	Tin	<input type="button" value="v"/>	
3	Gold	<input type="button" value="v"/>	
4	Tungsten	<input type="button" value="v"/>	

Question 1 – Minerals Necessary

Select “Yes” or “No” if the company uses each mineral. Optionally enter a comment.

Note: These metals, substances containing these metals, salts of these metals, etc., all constitute use of these metals. For example, if a product contains 10% Tin solder necessary to the product, the answer for Tin for Question 1, should be “Yes”.

If the company has suppliers who produce subcomponents, materials, etc. for products, delay answering “No” until receiving the suppliers’ completed CMDs. Conflict Minerals can be masked in inks, polymer fillers, catalysts, etc.

1. Are any of the following metals necessary to the functionality or production of your company's products that it manufactures or contracts to manufacture?

No.	Metal	Answer	Comments
1	Tantalum	<input type="text"/>	<input type="text"/>
2	Tin	<input type="text"/>	<input type="text"/>
3	Gold	<input type="text"/>	<input type="text"/>
4	Tungsten	<input type="text"/>	<input type="text"/>



Question 2 – Minerals Origins

Question 2 relates to the company's sources of Conflict Minerals. An answer of "No" conveys the company can identify the source for all the specified conflict mineral in the supply chain, or that the answer to Question 1 is "No" for that mineral.

If any amount greater than zero is sourced from the CM region, the response is "Yes".

If there is no known use of CM region sourced metal, but the source for all of the metal is not yet known, the correct response is "Uncertain or Unknown".

If any Question 1 response was "No", further questions are disabled for that metal.

2. Do the following metals (necessary to the functionality or production of your company's products) originate from the DRC or an adjoining country?

No.	Metal	Answer	Comments
1	Tantalum	<input type="text"/>	<input type="text"/>
2	Tin	<input type="text"/>	<input type="text"/>
3	Gold	<input type="text"/>	<input type="text"/>
4	Tungsten	<input type="text"/>	<input type="text"/>



Question 3 – Recycle / Scrap Sourcing

Question 3 again relates to Conflict Minerals sources. Either “Yes” or “No” conveys the company can identify the source for all the specified mineral in the supply chain.

If any amount of the metal greater than zero is sourced from non-scrap, non-recycled sources, the response should be “No”.

If there is no known use non-scrap, non-recycled metal, but the source for all of the metal is not yet known, the correct response is “Uncertain or Unknown”.

If any Question 1 response was “No”, further questions are disabled for that metal.

3. Do the following metals (necessary to the functionality or production of your products) come from a recycler or scrap supplier?

No.	Metal	Answer	Comments
1	Tantalum	<input type="button" value="▼"/>	
2	Tin	<div>Yes</div>	
3	Gold	<div>No</div>	
4	Tungsten	<div>unknown</div>	



Question 4 – Supplier Templates

Question 4 relates to the source of Suppliers Conflict Minerals. An answer of “Yes” conveys the company can identify the source for all of the specified supplier-provided conflict mineral in the supply chain.

If any supplier has not provided a declaration, or has provided an incomplete declaration, the response should be “No”. If suppliers have provided some responses for each metal, estimate what percentage of suppliers have provided what percentage of sources, and select the corresponding option from the dropdown list.

If any Question 1 response was “No”, further questions are disabled for that metal

No.	Metal	Answer	Comments
1	Tantalum	<input type="text"/>	<input type="text"/>
2	Tin	<input type="text"/>	<input type="text"/>
3	Gold	<input type="text"/>	<input type="text"/>
4	Tungsten	<input type="text"/>	<input type="text"/>

5. For each of the following metals, have you identified all of the smelters your company and its suppliers use to supply the products included within the scope of your reporting? (If you have not identified all of the smelters, please provide the percentage of suppliers that have provided the source information.)

No but > 75%
 No but > 50%
 No but > 25%
 No but < 25%
 No - none



Question 5 – Smelters Identified

Question 5 relates to the identification of smelters for all Conflict Minerals . An answer of “Yes” says the company can identify the smelters for all directly procured and supplier-provided use of the specified conflict mineral in the supply chain.

If any internal or supplier smelter is not identified, the response should be “No”.

If any Question 1 response was “No”, further questions are disabled for that metal.

5. For each of the following metals, have you identified all of the smelters your company and its suppliers use to supply the products included within the declaration scope indicated above?

No.	Metal	Answer	Comments
1	Tantalum	<input type="text"/>	<input type="text"/>
2	Tin	<input type="text"/>	<input type="text"/>
3	Gold	<input type="text"/>	<input type="text"/>
4	Tungsten	<input type="text"/>	<input type="text"/>



Question 6 – Conflict Free Smelters

Question 6 relates to the smelters being certified as Conflict-Free through the EICC-GeSI Conflict Free Smelter (CFS) program. An answer of “Yes” conveys the company can show an CFS Conflict-Free certification for every smelter for all directly procured and supplier-provided sources of the specified conflict mineral in the supply chain.

If any internal or supplier smelter is not known, or not certified Conflict-Free, the response should be “No”.

If any Question 1 response was “No”, further questions are disabled for that metal.

6. Have all of the smelters used by your company and its suppliers been validated as compliant in accordance with the Conflict-Free Smelter (CFS) Program and listed on the Compliant Smelter List for the following metals? [Link to "CFS Compliant Smelter List"](#)

No.	Metal	Answer	Comments
1	Tantalum	<input type="button" value="▼"/>	<input type="text"/>
2	Tin	<input type="button" value="▼"/>	<input type="text"/>
3	Gold	<input type="button" value="▼"/>	<input type="text"/>
4	Tungsten	<div>Yes No unknown</div>	<input type="text"/>

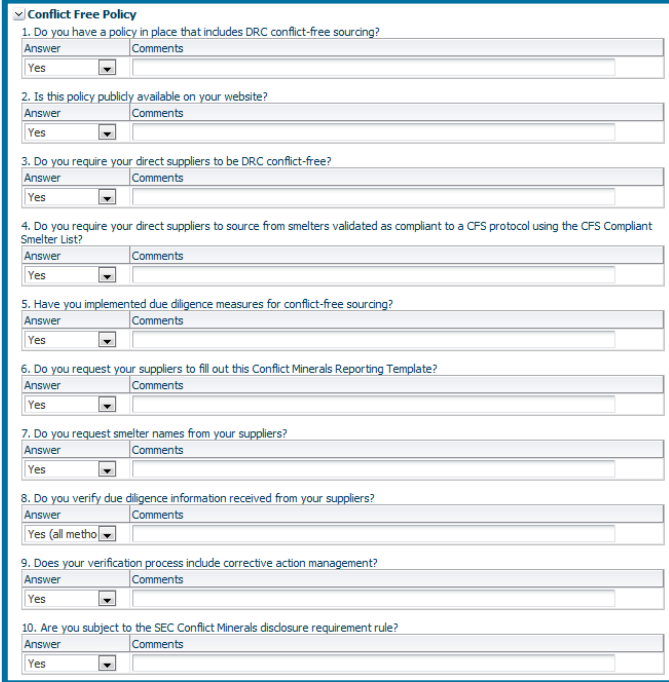




Create a New CMD – Conflict Free Policy

Conflict Free Policy

- In this section, the SEC and customers want to know the Conflict Mineral policies of the company. Most items take a “Yes” or “No” answer.
- Depending upon SEC reporting status and customer contracts, some answers may expect a “Yes” response. Answers should be accurate, and verifiable with documentation if requested.
- Additional information may be entered in the comments section.



The screenshot shows a web form titled "Conflict Free Policy" with a dropdown arrow to its left. It contains 10 numbered questions, each with an "Answer" field (a dropdown menu) and a "Comments" text area. The questions are:

1. Do you have a policy in place that includes DRC conflict-free sourcing?
2. Is this policy publicly available on your website?
3. Do you require your direct suppliers to be DRC conflict-free?
4. Do you require your direct suppliers to source from smelters validated as compliant to a CFS protocol using the CFS Compliant Smelter List?
5. Have you implemented due diligence measures for conflict-free sourcing?
6. Do you request your suppliers to fill out this Conflict Minerals Reporting Template?
7. Do you request smelter names from your suppliers?
8. Do you verify due diligence information received from your suppliers?
9. Does your verification process include corrective action management?
10. Are you subject to the SEC Conflict Minerals disclosure requirement rule?

In the screenshot, the "Yes" option is selected in the "Answer" dropdown for questions 1 through 9. For question 8, the "Yes (all methods)" option is visible in the dropdown. The "Comments" field for question 10 is currently empty.

Question 1 – Conflict Free Sourcing Policy

This question asks if the company has a policy that includes Conflict-Free sourcing.

If the company does not have a Conflict Free Policy the answer should be “No”.

If the answer is “No”, we recommend an explanation in the Comments field.

1. Do you have a policy in place that includes DRC conflict-free sourcing?	
Answer	Comments
<input type="text"/>	<input type="text"/>
<div>2 Yes</div> <div>No</div>	<div>Policy available on your website?</div> <div>Comments</div>



Question 2 – Publicly Available on Website

- This question asks if the company’s sourcing policy is posted on the web site.
- If the company does not have a Conflict Free Policy (Question 1 in this section is “No”) the answer to Question 2 should be “No”.
- If the answer is “No”, We recommend an explanation in the Comments field.
- Common reasons for answering no include:
 - There is no Conflict Free policy
 - It is not available on the company website
 - The company does not have a web site

2. Is this policy publicly available on your website?	
Answer	Comments
<input type="text"/>	<input type="text"/>
3. Do you require your direct suppliers to be DRC conflict-free?	
<input type="text"/> <input type="text"/>	Comments



Question 3 – Supplier Sourcing Requirements

- This question asks if the company requires direct suppliers to be Conflict-Free.
- If the company does not require this of suppliers the answer should be “No”.
- If the answer is “No”, we recommend an explanation in the Comments field.

3. Do you require your direct suppliers to be DRC conflict-free?

Answer	Comments
<div><div></div><div>▼</div><div>Yes</div><div>No</div></div>	<div></div> <div>your direct suppliers to source from smelters validated as DRC Conflict-Free using the EICC-GeSI Conflict-Free</div>

Question 4 – Supplier CFS Sourcing

- This question asks if the company requires direct suppliers to verify Conflict-Free sourcing using the EICC-GeSI CFS Smelter list.
- If the answer to the previous question was “No”, the answer to this question probably should be “No” as well.
- If the company does not require this of suppliers, the answer should be “No”.
- If the answer is “No”, we recommend an explanation in the Comments field.

Answer	Comments
<div> <input type="text"/> <div>▼</div> <div> <div>Yes</div> <div>No</div> </div> </div>	



Question 5 – Sourcing Due Diligence

- This question asks if the company has implemented due diligence measures to reinforce Conflict-free sourcing
- If the company has not done this, the answer should be “No”.
- If the answer is “No”, we recommend an explanation in the Comments field.

5. Have you implemented Conflict Minerals sourcing due diligence measures?	
Answer	Comments
<input type="text"/> <input type="button" value="▼"/> <input type="button" value="Yes"/> <input type="button" value="No"/>	<input type="text"/>
6. Have you completed Conflict Minerals reporting templates from all your suppliers?	
Answer	Comments



Question 6 – Supplier CMD Template Request

- This question asks if the company asks suppliers to complete an Conflict Minerals Declaration using the EICC-GeSI template, or a template-based tool.
- If the company does not require this of suppliers, the answer should be “No”.
- If the answer is “No”, we recommend an explanation in the Comments field.

6. Do you request your suppliers to fill out this Conflict Minerals reporting template?

Answer	Comments
<div><div></div><div></div><div>▼</div></div>	
8 Yes	smelter names from your suppliers?
No	
Answer	Comments

Question 7 – Supplier Smelter Name Requests

- This question asks if the company asks suppliers to provide smelter names.
- If the answer to the previous question was “No”, the answer to this question probably should be “No” as well.
- If the company does not require this of suppliers, the answer should be “No”.
- If the answer is “No”, we recommend an explanation in the Comments field.

7. Do you request smelter names from your suppliers?	
Answer	Comments
<div><div></div><div></div></div>	
<div><div>Yes</div><div>No</div></div>	<div>Conflict Mineral Responses from your suppliers?</div> <div>Comments</div>

Question 8 – Due Diligence Verification

- This question asks if the company verifies supplier responses. The choices are:
- Yes [3rd party audit]
- Yes [Documentation Review]
- Yes [Internal audit]
- Yes [All methods apply]
- No
- We recommend an explanation in the Comments field for any response.

8. Do you verify Conflict Mineral Responses from your suppliers?

Answer	Comments
<div>▼</div> <div>Yes[3rd party audit] Yes[documentation Review] Yes[internal audit] Yes[all methods apply] No</div>	

Question 9 – Corrective Action

- This question asks if the company has Corrective Action as part of the supplier verification process. Corrective action most often includes providing feedback to suppliers regarding responses the company considers less than ideal.
- If the answer to the previous question was “No”, the answer to this question probably should be “No” as well.
- If the company does not do this, the answer should be “No”.
- If the answer is “No”, we recommend an explanation in the Comments field.

9. Does your verification process include corrective action management?	
Answer	Comments
<input type="text"/> <input type="button" value="▼"/> <input type="button" value="Yes"/> <input type="button" value="No"/>	<input type="text"/>
10. Does your verification process include corrective action management?	
Answer	Comments
<input type="text"/> <input type="button" value="▼"/> <input type="button" value="Yes"/> <input type="button" value="No"/>	<input type="text"/>



Question 10 – SEC Reporting Status

- This question asks if the company reports to the SEC, and is directly subject to the Conflict Minerals rule.
- If the company does not report to the SEC, the answer should be “No”.

10. Are you subject to the SEC disclosure requirement rule?

Answer	Comments
<div><div></div><div>Yes</div><div>No</div></div>	

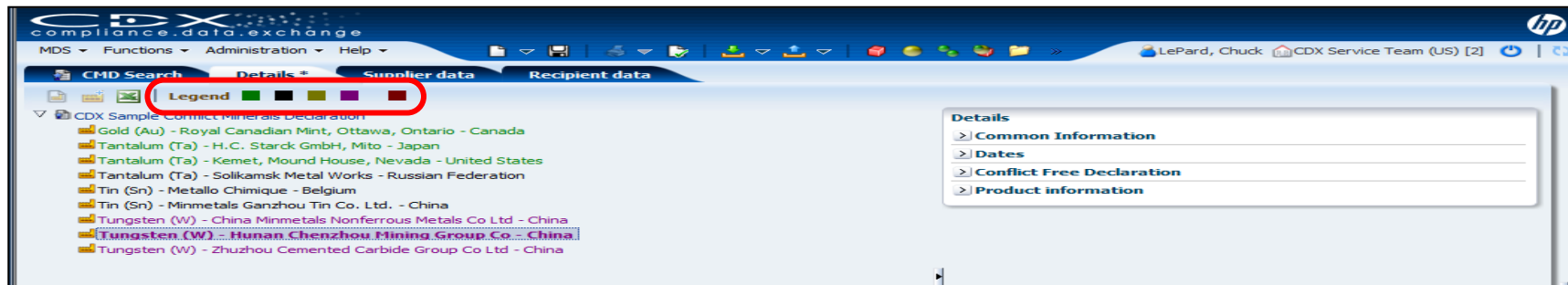


Create a New CMD – Add Smelters Introduction

Smelter Types

As shown in the legend, CDX maintains five smelter types. These are shown by color

- | | | |
|-------------------|---|--|
| (1) Conflict Free | ■ | • Certified as Conflict Free by EICC-GeSI. |
| (2) Standard | ■ | • Known to and verified by EICC-GeSI to be true smelters |
| (3) Registered | ■ | • Companies which have self-registered in CDX |
| (4) Alleged | ■ | • Reported by suppliers or user company, not verified |
| (5) Invalid | ■ | • Non-smelter sources frequently mistaken as smelters |



Methods to Add Smelters: Three options

(1) Add from list



(2) Create alleged



(3) Import from supplier

- Raw material suppliers which deal with smelters directly are more likely to use “Add from list” and “Create alleged” methods.
- Companies which purchase worked materials without direct smelters relationships are more likely to use the “Import from supplier” method.

Supplier CMDs

View



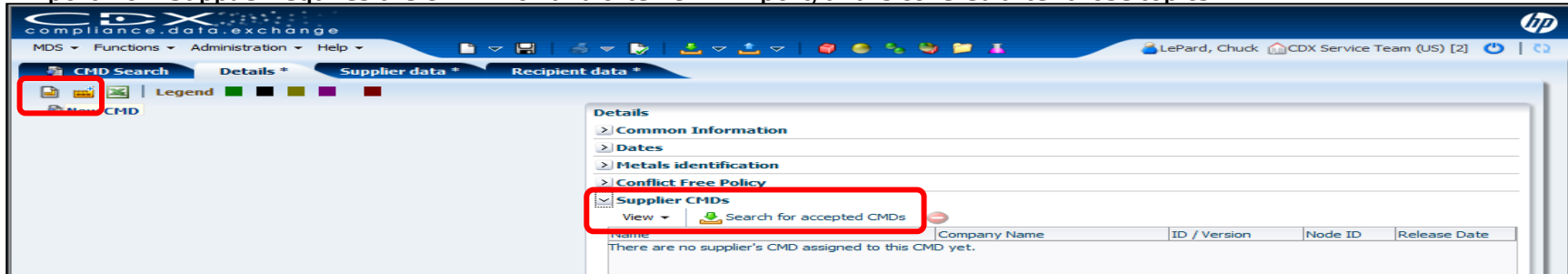
Search for accepted CMDs



Add from list and Create alleged are relatively simple, and are explained in the next two sections.

If there are no direct interactions with Smelters, these sections may safely be skipped with this [Link](#).

Import from Supplier requires the CDX InBox and often CMD Import, and is covered after those topics.

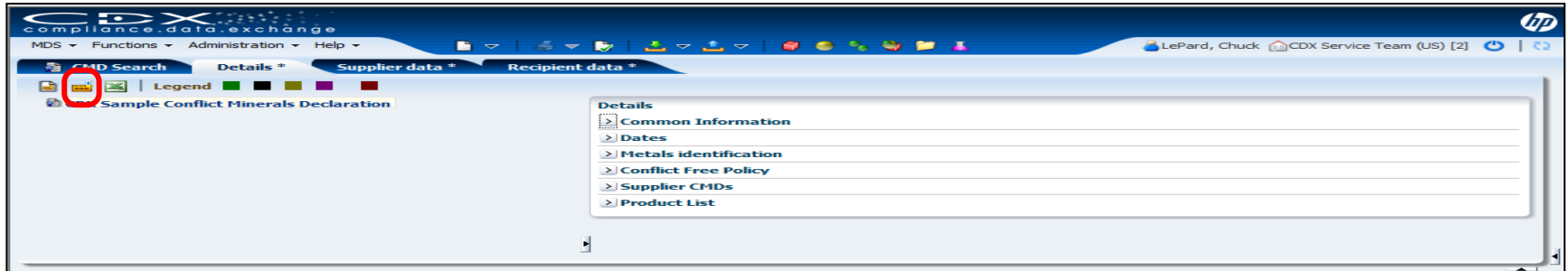


Add Smelters from List

To add one or more existing smelters to a CMD:

- Select the “Add Smelter” Button from the CMD Toolbar.

Note: This is the second toolbar icon and not the first, which is “Add New Smelter”



Add Smelters from List - Search

- The smelter search is presented. Use filters to narrow search and see fewer results. As few or as many filters as needed may be used . Common filters include:

Type: [Conflict-Free](#), [Standard](#), [Registered](#), [Alleged](#).

Metal: [Tantalum](#), [Gold](#), [Tin](#), [Tungsten](#)

Country: [The nation in which the smelter company headquarters is located, which may or may not be the same as where the mine is located.](#)

- When all desired filters are specified , select **Search**.

CDX - Compliance Data Exchange

Search Criteria

Smelter Name	Zip Code	Metal
Smelter ID	City	Source of ore
DUNS Number	State / Province	
Smelter Type	Country	

Create smelter Search

View Export

Smelter Name	Known alias	Type	ID	Valid	Facility Name	Country	State / Province
--------------	-------------	------	----	-------	---------------	---------	------------------

Add Smelters from List – Search Results

All the smelters which satisfy your filters are displayed, to a maximum of 500.

Display columns may be reordered by dragging and dropping the column headers.

The sort order can be changed by clicking the sort icon in most column headers.

A series of smelters can be selected by holding the “Shift” key and clicking the row.

Multiple smelters can be selected by holding the “Ctrl” key while clicking the row.

Click the desired row or rows to highlight smelters and click **Apply**.

Column Header

Sort Icons

Apply

Metal	Smelter Name	Type	Country	ID	Facility Name	Known alias	Valid
Gold (Au)	Asahi Pretec Corporation	Conflict Free	Japan	403	Asahi Pretec Corp...		Yes
Gold (Au)	Asahi Pretec Corporation	Conflict Free	Japan	405	Asahi Pretec Corp...		Yes
Tantalum (Ta)	Conghua	Conflict Free	China	419	Conghua, Conghu...		Yes
Gold (Au)	DOWA	Conflict Free	Japan	408	DOWA, DOWA Me...		Yes
Gold (Au)	DOWA	Conflict Free	Japan	407	DOWA, Kosaka Sm...		Yes
Tantalum (Ta)	Exotech Inc.	Conflict Free	United States	420	Exotech Inc., Pom...		Yes
Tantalum (Ta)	F & X	Conflict Free	China	421	F & X, Jiangmen, G...		Yes
Tantalum (Ta)	Gannon & Scott	Conflict Free	United States	422	Gannon & Scott, P...		Yes
Tantalum (Ta)	Global Advanced Metals	Conflict Free	Japan	424	Global Advanced M...		Yes
Tantalum (Ta)	Global Advanced Metals	Conflict Free	United States	423	Global Advanced M...		Yes
Tantalum (Ta)	H.C. Starck GmbH	Conflict Free	Germany	426	H.C. Starck GmbH,...		Yes
Tantalum (Ta)	H.C. Starck GmbH	Conflict Free	Germany	427	H.C. Starck GmbH,...		Yes
Tantalum (Ta)	H.C. Starck GmbH	Conflict Free	Thailand	429	H.C. Starck GmbH,...		Yes

Rows Selected 3 | Total records found 41

Apply Cancel

Add Smelters from List – Smelters Added

- The selected smelters are added to the CMD.
- View smelter details by highlighting a smelter and viewing the Details panes.
- Remove a smelter by right-clicking and selecting “Delete” from the context menu.
This removes the smelter from the CMD, not from the “Master” Smelter Lists.

Note: The CMD at the top must be highlighted to add smelters. “Add New Smelter” and “Add Smelter” icons are disabled when a smelter is highlighted.

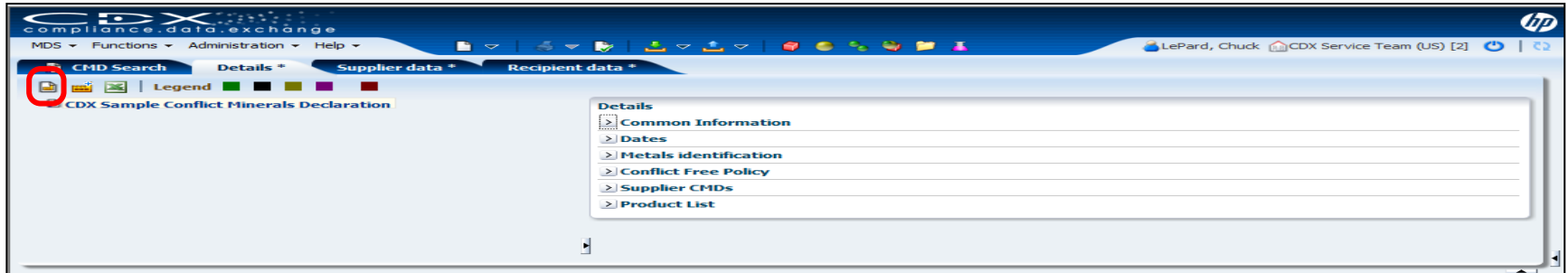
Repeat these steps as needed to add all the listed smelters to the CMD.



Add a New Smelter



- If a smelter or smelters from which the company receives conflict minerals is not on the existing lists, the new alleged smelter(s) must be added, one at a time.
- This is similar to “Add from List”. However, the process is more complex as all the smelter information must be supplied. Use existing list entries when possible.
- To add a new alleged smelter to a CMD:
 1. Select the “Add New Smelter” Button from the CMD Toolbar.
 2. Note this is the first toolbar icon and not the second, which is “Add Smelter”.



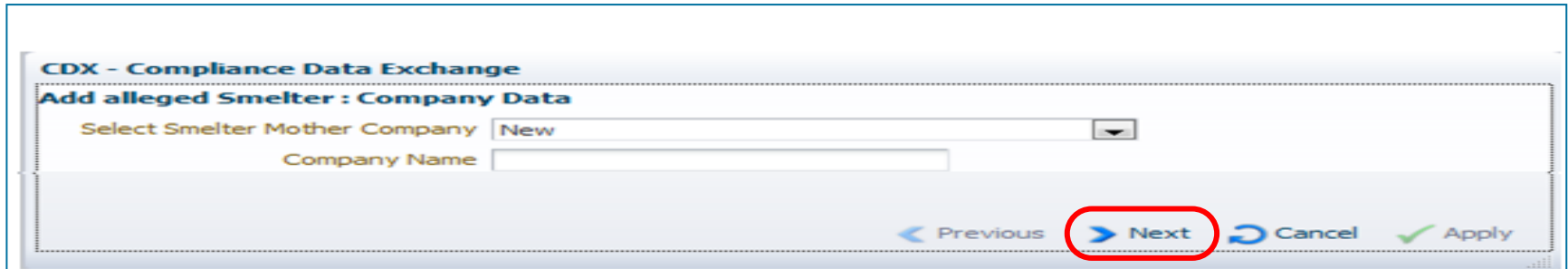
Add a New Smelter – Company Data (Parent Company)

The “Add alleged Smelter” – Company Data screen is displayed.

CDX uses three-layers for Smelters: the “mother” or parent company, the Smelter “facility”, and the mineral source or mine. All three must be provided.

Select Smelter If adding a facility to an existing parent company, select the
Mother Company: company. Otherwise, leave or select the default value, “New”.
Company Name: Required in typical case when “Mother” company is “New”.
 Enter the name of the top-level smelter parent company.

Complete these fields as required and select **Next**.



CDX - Compliance Data Exchange


Add alleged Smelter : Company Data

Select Smelter Mother Company

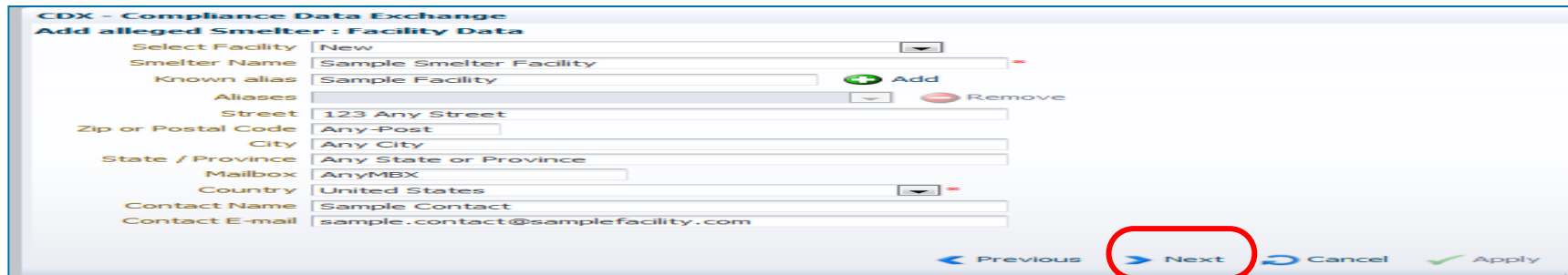
Company Name

Previous Next Cancel Apply

Add a New Smelter – Company Data (Facility)

- Select Facility: If adding source to existing facility, select facility name. Otherwise, select “New”.
- Smelter Name: If facility is “New”, enter name. This is usually different than company name.
- Known alias: Enter any known alias, press  Add for each one, which adds to Aliases
- Street, Zip, Postal Code, City, State/Province, Mailbox: Enter the standard location / mailing address for the smelter facility. More complete information will facilitate verification of alleged smelters.
- Country*: The nation where facility is located. Company, facility and mine country may all differ
- Contact Name: The person to contact to verify the facility information.
- Contact E-mail: The email address to contact to verify the facility information.


Complete these fields as required and select **Next**.




CDX - Compliance Data Exchange
Add alleged Smelter : Facility Data

Select Facility: New

Smelter Name: Sample Smelter Facility

Known alias: Sample Facility  Add

Aliases:  Remove

Street: 123 Any Street

Zip or Postal Code: Any Post

City: Any City

State / Province: Any State or Province

Mailbox: AnyMBX

Country: United States



Contact Name: Sample Contact

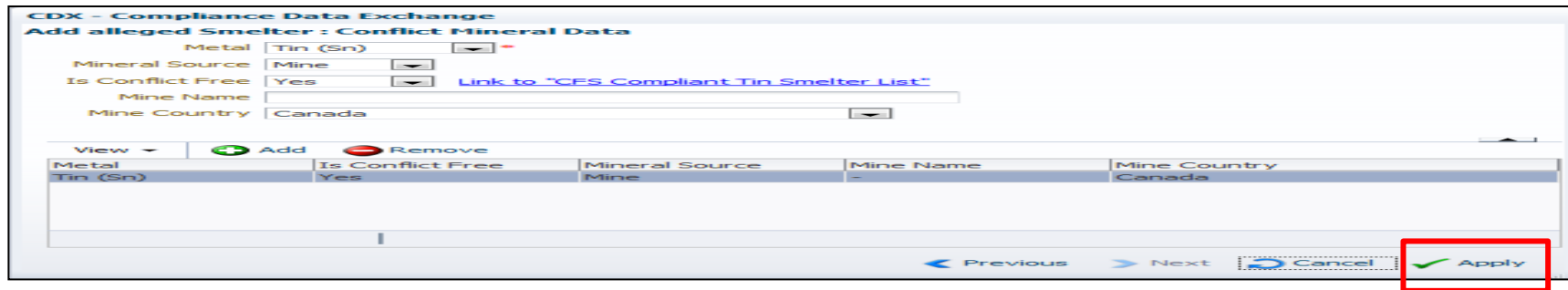
Contact E-mail: sample.contact@samplefacility.com

Previous Next Cancel Apply

Add a New Smelter – Conflict Mineral Data (Source)

- Metal: The conflict mineral produced/recycled at the source being created.
- Mineral Source: Select the type of source; Mine, Recycle, or Scrap
- Is Conflict Free: Select Yes, No, or Unknown
- Mine Name: Not expected, as most smelters consider this proprietary. Enter if known.
- Mine Country: For mines or single-source recycle/scrap, select the mineral source country.

When complete, press  Add to save entry to table. Use  Remove to remove erroneous entries. Repeat if multiple sources are known. At least one source must be in table to enable “Apply”, Complete entries as required and select **Apply**.



CDX - Compliance Data Exchange

Add alleged Smelter : Conflict Mineral Data

Metal: Tin (Sn)

Mineral Source: Mine

Is Conflict Free: Yes

Mine Name:

Mine Country: Canada

View: Add Remove

Metal	Is Conflict Free	Mineral Source	Mine Name	Mine Country
Tin (Sn)	Yes	Mine	-	Canada

Previous Next Cancel Apply



Add a New Smelter – Smelters Added

- The newly created alleged smelter are added to the CMD.
- View smelter details by clicking a smelter to highlight & viewing the Details panes.
- Remove a smelter by right-clicking and selecting “Delete” from the context menu.
This removes the smelter from the CMD, not from the “Master” Smelter Lists.

Note: The CMD at the top must be highlighted to add smelters. “Add New Smelter” and “Add Smelter” icons are disabled when a smelter is highlighted.

Repeat these steps as needed to add all the new alleged smelters to the CMD.



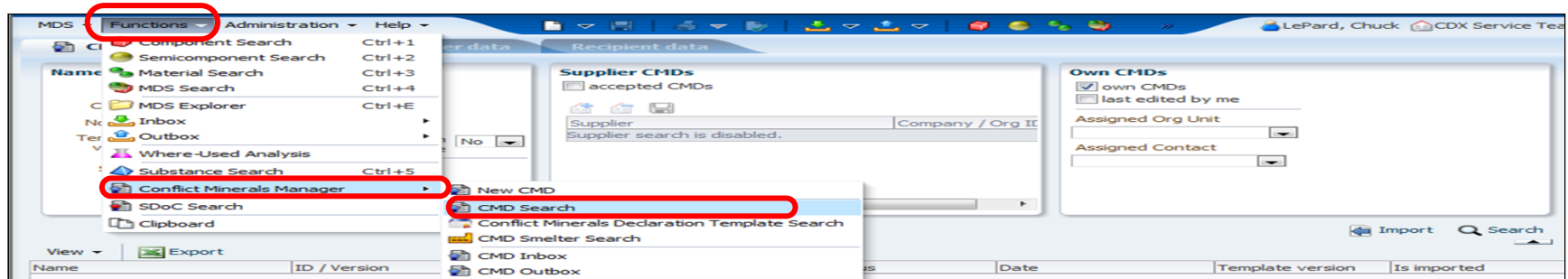


Create a New CMD – Import Non-CDX Submissions

Navigation for Import of a Supplier Submission

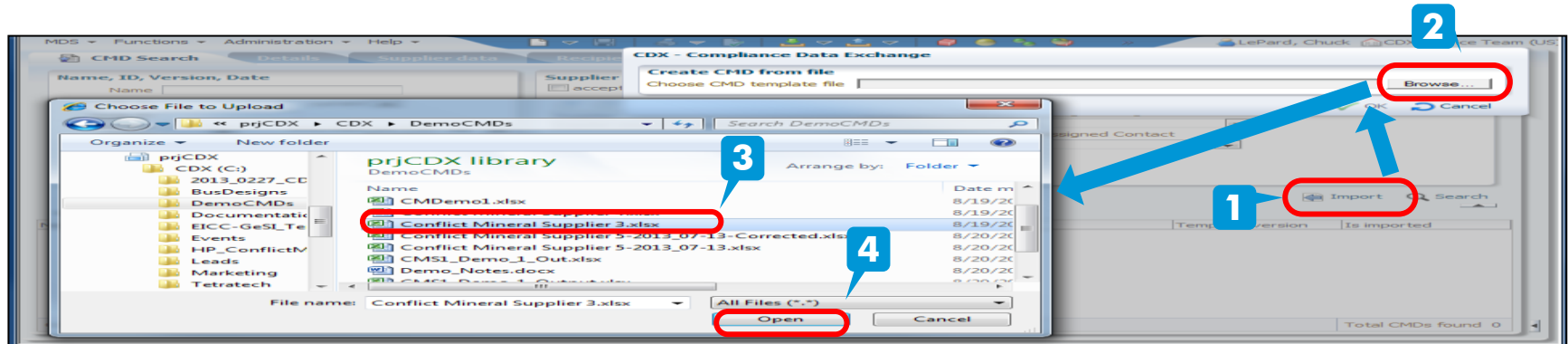
- Many suppliers will use CDX to submit CMDs, but some may not be CDX users.
- Non-CDX suppliers will submit the CMD via e-mail or other electronic transfer.
- These CMDs must be imported into CDX one at a time, so as to add to your CMD.
- Before exiting a CMD, save changes! A prompt appears if the CMD is not saved.
- To prepare for import, navigate the CDX menus:

Functions> Conflict Minerals Manager> CMD Search



Prepare Import of Supplier Submission

- The CMD Search screen displays existing CMDs in CDX available to your company.
- This screen also provides the import mechanism to add new CMDs into CDX.
- To begin, select **Import** from the mid-right, next to **Search**.
- In the resulting popup, use **Browse** to display a file system search window.
- Locate and select a Supplier EICC-GeSI CMD Template file to import.
- Select **Open** to load the template to the Create CMD from File popup.



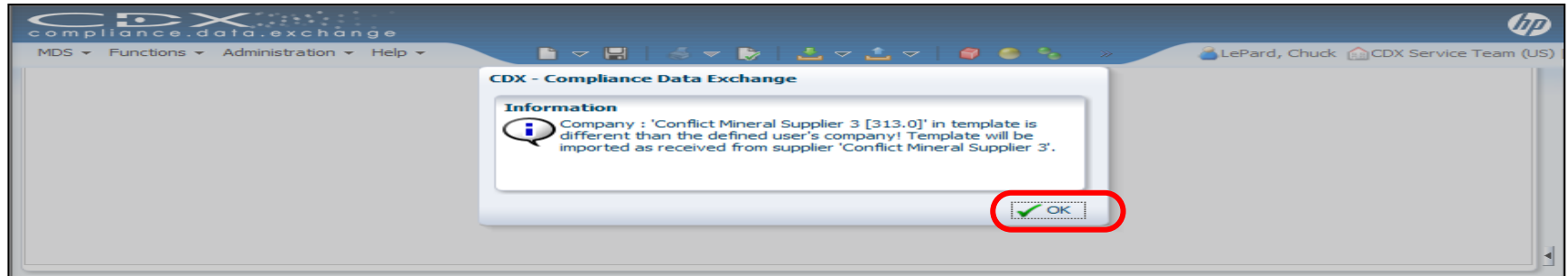
Begin Import of Supplier Submission

- In the Create CMD from File dialog, CDX will validate an .xlsx file is selected.
- Once validated, the **OK** button will enable.
- If validation fails or to select a different file, use **Update** to change selection.
- Select **OK** to import the Supplier CMD Template.



Confirm Import of Supplier Submission

- CDX can import a template for the User's company, or from Supplier companies.
- CDX will display a popup to confirm loading of a Supplier submission.
- Select **OK** to confirm Supplier Template import.



Validate and Save Supplier Submission

- During Import, CDX validates Supplier CMDs to ensure there are no errors.
- A very few severe errors such as a missing Supplier Company name will prevent the Supplier Template from loading. CDX will issue an explanatory error message.
- For less severe errors, the template is imported and check results list the error(s). Any Smelters List tab rows with errors will import as “Alleged” smelters.
- Supplier Template CMD files and supplier CMDs are both retained in CDX storage.
- Save loaded supplier CMDs to make available for approval or rejection. Imported and CDX-using supplier CMDs both appear in the company CMD InBox.

compliance data exchange

MDS Functions Administration Help

CMD Search Details Supplier data Recipient data

Legend

Conflict Mineral Supplier 2a

- Gold (Au) - Allgemeine Gold- und Silberscheideanstalt A.G. - Germany
- Gold (Au) - Argor-Heraeus SA - Switzerland
- Tin (Sn) - Malaysia Smelting Corp - Malaysia
- Tin (Sn) - Mentok Smelter - Indonesia
- Tungsten (W) - Global Tungsten & Powders Corp - United States
- Tungsten (W) - Jiangxi Rare Earth & Rare Metals Tungsten Group Corp - China
- Tungsten (W) - Jiangxi Rare Earth & Rare Metals Tungsten Group Corp - Indonesia

No.	Metal	Answer	Comments
1	Tantalum	No - none	-
2	Tin	No but > 75%	-
3	Gold	-	-
4	Tungsten	No but > 75%	-

5. For each of the following metals, have you identified all of the smelters your company and its suppliers use to supply the products included within the declaration scope indicated above?

No.	Metal	Answer	Comments
-----	-------	--------	----------

Check results - 1 Error(s) / 0 Information

No.	Type	Tab	Node / Recipient	Message
1	Error	Details	Conflict Mineral Supplier 2a	Question 4 about metal Gold is not yet answered in metal identification



Create a New CMD – Review, Accept & Reject Received CMDs


Accessing the CMD InBox

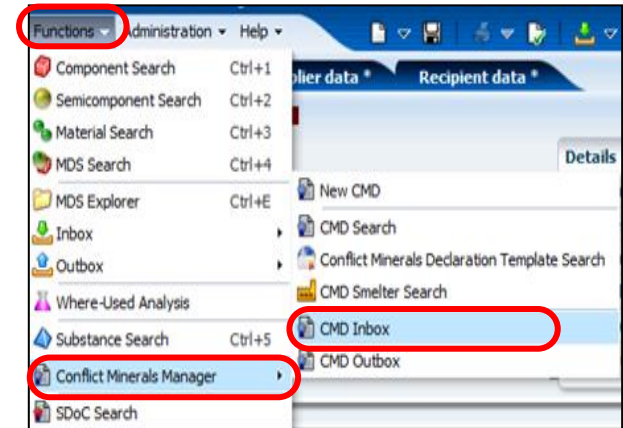
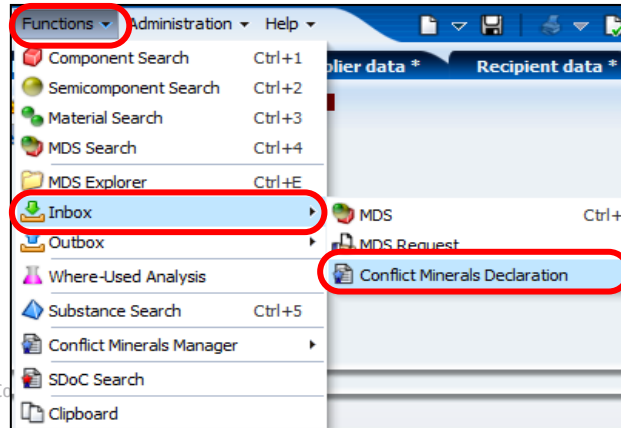
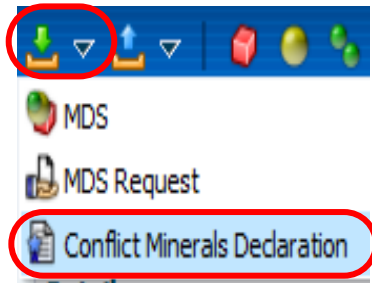
Supplier CMDs submitted via email or via CDX appear in the Company CMD InBox.

Suppliers submit via CDX as your Company would submit to Customers via CDX.

This CDX Submit is explained for your Company after intervening steps. [Link](#).

Before a supplier CMD can be incorporated into the Company CMD, it must be accepted using the CMD InBox. The CMD InBox may be accessed in three ways.

1. Click the Toolbar InBox  dropdown & select **Conflict Minerals Declaration**.
2. Navigate the menu and use **Functions> Inbox> Conflict Minerals Declaration**.
3. Navigate the menu and use **Functions> Conflict Minerals Manager> CMD InBox**.



Searching for Received CMDs

- The CMD InBox searches specifically for CMDs received from supplier companies.
- Search filters include selection by status, time period, and/or supplier(s).
- CMDs with status “rejected” or “cancelled by sender” need supplier resubmission.
- CMDs with status “accepted” are available to use within Company CMDs.
- CMDs with status “not yet browsed” or “browsed” are open and require action. Newly received and imported CMDs will have one of these statuses.
- Enter filters and select **Search** to find CMDs with the specified filter criteria.
- Select a CMD in the Results list and double-click or right-click **View** to open CMD.

Received Conflict Minerals Declarations

Details Supplier data Recipient data

General / Date

Name

CMD ID all

Node ID

Template version Only imported from Template

Date ☐ transmitted (proposed) ☐ last status changed

from 08/18/2013 to 08/25/2013

Status

Combined ☒ all ☒ open CMDs ☐ none

Single ☒ not yet browsed ☒ browsed ☐ accepted ☐ rejected ☐ cancelled by sender

Recipient / Supplier

Org Unit

Supplier ☐ Enable search by supplier

Supplier search is disabled.

☒ Include all Org Units

Search

View Export

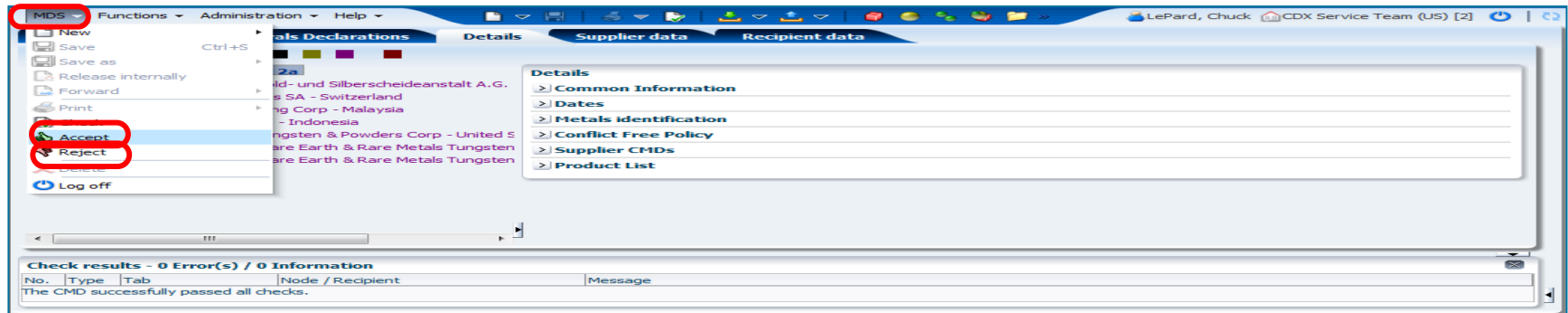
Name	Node ID	Node ID	Transmitted	Transmitted	Status	Last status changed	Template version
Conflict Mineral Supplier 2a	1484 / 1	1484	8/24/2013	Conflict Mineral Supplier 2	browsed	8/24/2013	2

Total CMDs found: 2



Reviewing and Acting upon a Supplier CMD

- Open the supplier CMD and review the provided information.
- Supplier CMDs with a non-recent Check Date or Release Date should be verified.
- Scope, Metals id., Conflict Free Policy, and Smelters list deserve extra review.
- To protect your supplier's suppliers identity, the Supplier CMDs area will be blank.
- Select Menu **MDS> Accept** or **MDS> Reject** to accept or reject the supplier CMD. CDX will prompt to confirm the decision, as it cannot be undone.
- Select the **Received Conflict Minerals Declarations** tab to return to the CMD InBox.
- Repeat these steps as necessary to process all received supplier CMDs.





Create a New CMD – Adding Smelters from Supplier CMDs

Locating your CMD in Progress

- After accepting supplier CMDs, the Company CMD in progress must be reopened.
- Navigate to Menu **Functions> Conflict Minerals Manager > CMD Search**.
- Use the filter “own CMDs” to search for CMDs created in your company.
- Specify any additional filters and select **Search** to create search results.
- Locate the CMD in Search Results. Double-click, or right-click and select **Edit**.


The screenshot displays the 'CMD Search' application window. It features several tabs: 'Details', 'Supplier data', and 'Recipient data'. The 'Details' tab is active, showing search filters for Name, ID, Version, Date, and Status. A red circle highlights the 'Edit' button in the 'from' field. The 'Supplier data' tab shows 'Supplier search is disabled'. The 'Recipient data' tab shows 'Own CMDs' filter options. A table at the bottom displays search results with columns: Name, ID / Version, Node ID, Supplier, Status, Date, Template version, and Is imported. The first row shows 'Example CDX CM Declaration' with ID 1486 / 0.01, Node ID 1486, Supplier 'CDX Service Team (US)', Status 'Edit mode', Date '8/25/2013', Template version '2.02', and Is imported 'No'. A red circle highlights the 'Search' button in the bottom right corner.

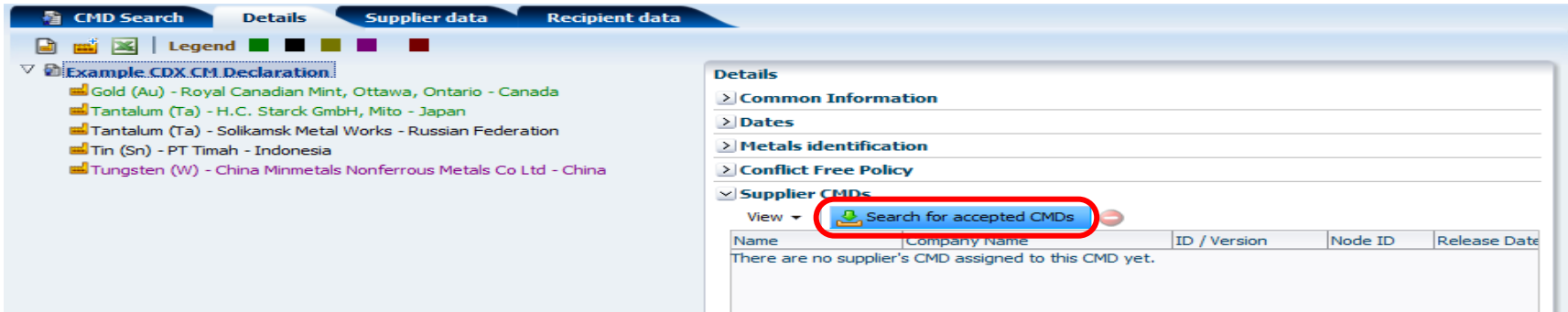
Name	ID / Version	Node ID	Supplier	Status	Date	Template version	Is imported
Example CDX CM Declaration	1486 / 0.01	1486	CDX Service Team (US)	Edit mode	8/25/2013	2.02	No

Total CMDs found 1



CMD Details Supplier CMDs

- In Details at right, locate the Supplier CMDs pane. If collapsed, expand it.
- Any previously added supplier CMD smelters (if any) will appear in the pane.
- Supplier smelters may only be added to a CMD if they are accepted.
- Select  Search for accepted CMDs to open the accepted supplier CMD search window.



The screenshot displays the HP CMD Search application interface. The top navigation bar includes tabs for 'CMD Search', 'Details', 'Supplier data', and 'Recipient data'. The 'Details' tab is active. On the left, under 'Example CDX CM Declaration', a list of metals and their suppliers is shown: Gold (Au) - Royal Canadian Mint, Ottawa, Ontario - Canada; Tantalum (Ta) - H.C. Starck GmbH, Mito - Japan; Tantalum (Ta) - Solikamsk Metal Works - Russian Federation; Tin (Sn) - PT Timah - Indonesia; and Tungsten (W) - China Minmetals Nonferrous Metals Co Ltd - China. On the right, the 'Details' pane is expanded, showing sections for 'Common Information', 'Dates', 'Metals identification', 'Conflict Free Policy', and 'Supplier CMDs'. The 'Supplier CMDs' section is expanded, and the 'Search for accepted CMDs' button is highlighted with a red circle. Below this button is a table with columns: Name, Company Name, ID / Version, Node ID, and Release Date. The table currently contains the text: 'There are no supplier's CMD assigned to this CMD yet.'

Selecting Supplier CMDs to Load Smelters

- This search automatically filters for accepted supplier CMDs.
- Specify additional filters if desired and select **Search**.
- In the Search Results, select accepted supplier CMDs from which to load smelters. Hold the key during selection to perform a multi-select.
- After making your selection(s), click **Apply**.

CDX - Compliance Data Exchange

General / Date

Name

CMD ID all

Node ID

Template version Only imported from Template ☐ No

Date ☐ transmitted (proposed)
☐ last status changed

from 08/18/2013 to 08/25/2013

Status

Combined ☒ all ☐ open CMDs ☐ none

Single ☐ not yet browsed
☐ browsed
☒ accepted
☐ rejected
☐ cancelled by sender

Recipient / Supplier

Org Unit

Supplier ☐ Enable search by supplier

Supplier search is disabled.
☒ Include all Org Units

View

Name	ID / Version	Node ID	transmitted	from comp. (Org Unit)	[Company ID]	Status	last status changed	Template version
Conflict Mineral Supplier 2a	1484 / 1	1484	8/24/2013	Conflict Mineral Supplier 2		accepted	8/25/2013	2
Conflict Mineral Supplier 3	1481 / 1	1481	8/24/2013	Conflict Mineral Supplier 3		accepted	8/25/2013	2


Rows Selected 1

Search

Total CMDs found 2

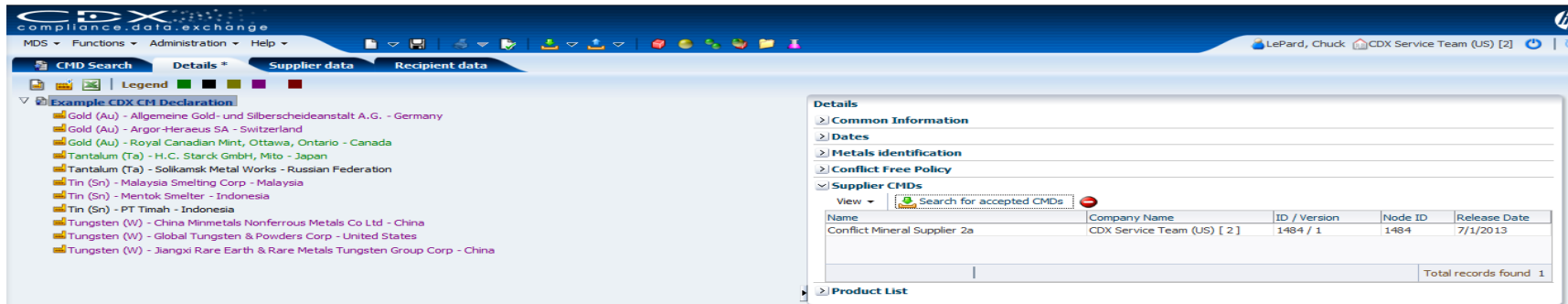


Add Smelters from Supplier CMDs

- Apply adds the smelters from the supplier CMD(s) to the Company CMD.
- The Smelter List is merged and sorted by Mineral, Smelter Company, and Country.
- Smelters of the same type, company, facility, and source appear only once.
- The Supplier CMD section is blanked on CMD Customer submissions.
- Supplier smelters may be removed one at a time using Supplier CMDs .

Note: Removing a CMD does not remove associated smelters with other sources.

Repeat these steps for all accepted supplier CMDs.



The screenshot displays the CDX Compliance Data Exchange web application. The left sidebar shows a tree view of 'Example CDX CM Declaration' with various metal categories and their sources. The main content area is divided into 'Details' and 'Product List' sections. The 'Details' section is expanded, showing 'Supplier CMDs' with a table of data.

Name	Company Name	ID / Version	Node ID	Release Date
Conflict Mineral Supplier 2a	CDX Service Team (US) [2]	1484 / 1	1484	7/1/2013

Total records found: 1



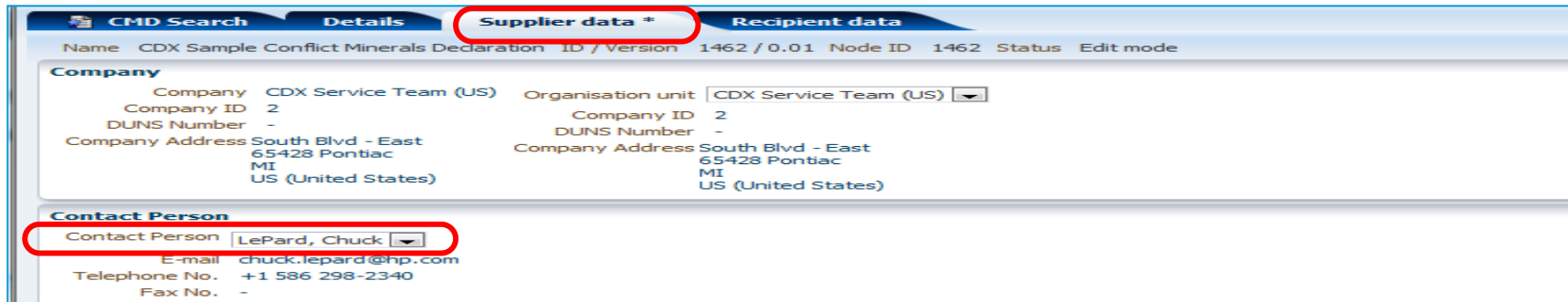


Create a New CMD – Submission Preparation

Submit a CMD – Specify Supplier Information

- CMDs are supplied to CDX-using customers via submission.
- CMDs are supplied to non-CDX customers via export to EICC-GeSI Template file.
- Once the CMD details and smelters are complete, the CMD Details tab is finished.
- To proceed, select the CMD “Supplier Data” on the Supplier Data tab.
- The company information is copied from Administration> Company.
- The Contact Person is the “CMD Contact” specified on in Administration> User.
- If multiple CMD Contacts are specified for the company, select from the dropdown.

The Contact Person selection is the only information to complete on this tab.



CMD Search **Details** **Supplier data *** **Recipient data**

Name CDX Sample Conflict Minerals Declaration ID / Version 1462 / 0.01 Node ID 1462 Status Edit mode

Company


Company CDX Service Team (US) Organisation unit CDX Service Team (US) ▼
Company ID 2 Company ID 2
DUNS Number - DUNS Number -
Company Address South Blvd - East Company Address South Blvd - East
65428 Pontiac 65428 Pontiac
MI MI
US (United States) US (United States)


Contact Person

Contact Person LePard, Chuck ▼
E-mail chuck.lepard@hp.com
Telephone No. +1 586 298-2340
Fax No. -



Selecting In-CDX Customers – Begin Search

- The final step creating a CMD is typically submission to customers.
- **If your company has CDX Customers, or both CDX and non-CDX Customers:**
- Select the “Recipient Data” tab.
- Select the “Add Recipients”  icon from the Recipients Toolbar.
- **If your company does not have CDX customers:**
- Bypass 3 pages of Internal Customer release preparation content using this [Link](#).



The screenshot shows the HP CMD Search interface. At the top, there are four tabs: "CMD Search", "Details", "Supplier data", and "Recipient data". The "Recipient data" tab is selected and highlighted with a dashed border. Below the tabs, there is a table with the following columns: "Name", "CDX Sample", "Conflict Minerals Declaration", "ID / Version", "1462 / 0.01", "Node ID", "1462", "Status", and "Edit mode". Below the table, there is a toolbar with two icons: a blue square with a white plus sign and a red circle with a white minus sign. The blue square icon is circled in red. Below the toolbar, there is a message: "There are no recipients assigned to this CMD yet."

Add Recipients

- The Add Recipients button will display the Company Search screen.
- There is no option to multi-select recipients – each must be selected individually.
- As with other searches, filters accelerate the search and limit the results.
- For company-level reports, leave the “only root companies” box checked.
- To submit divisional reports or to a division, clear the “only root companies” box.
- Select **Search** to find recipient companies.
- Highlight the desired recipient and select **Apply**.

CDX - Compliance Data Exchange

Company

Company Name Conf Zip Code User Name
Company ID City User ID
Org Unit State / Province **only root companies** ☒
DUNS Number Country



View

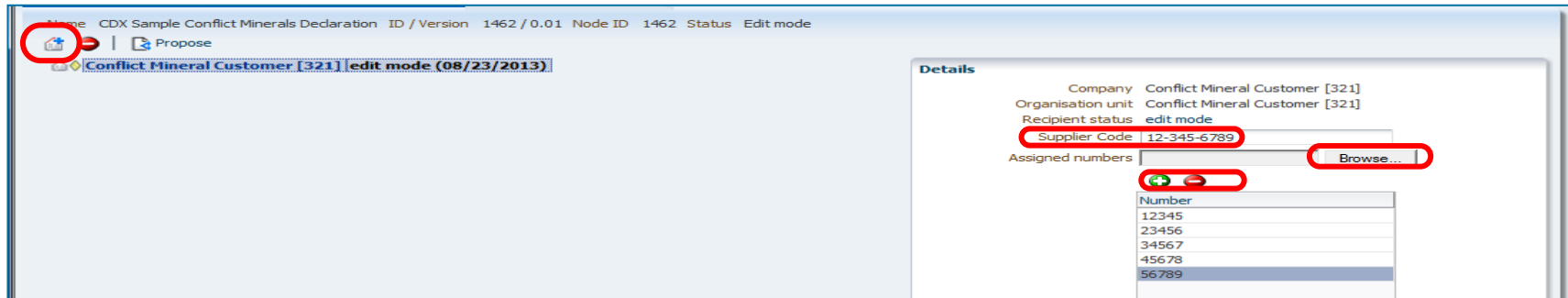
Company Name	Org Unit	ID	Zip Code	City	State / Province
Conflict Mineral Customer	Conflict Mineral Customer	321	48341	Pontiac	Michigan
Conflict Minerals Supplier 1	CM1 Product Line 1	316			
Conflict Minerals Supplier 1	CM1 Product Line 2	317			
Conflict Minerals Supplier 1	Conflict Minerals Supplier 1	315	48341	Pontiac	MI
Conflict Minerals Supplier 2	Conflict Minerals Supplier 2	314	48341	Pontiac	MI
Conflict Minerals Supplier 2	Region AM	320			
Conflict Minerals Supplier 2	Region AP	318			
Conflict Minerals Supplier 2	Region EU	319			
Conflict Minerals Supplier 3	Conflict Minerals Supplier 3	313	48341	Pontiac	MI

Records found 9



Adding Recipient Specific Information

- Often, customers assign each supplier a different “Supplier Code”. Enter the specific supplier code that applies to this recipient on this screen.
 - There is an option to list the part numbers provided each customer. Part numbers can be loaded from an unformatted .txt file, and/or entered manually.
 - To load, use the **Browse** button to locate the .txt file. The part numbers are added immediately. To manually enter, add in Assigned numbers, then press .
 - Errors can be removed from Numbers with multi-select and the .
- Repeat “Add Recipients” & “Add Recipient Specific Information” for each customer.



CDX Sample Conflict Minerals Declaration ID / Version 1462 / 0.01 Node ID 1462 Status Edit mode

Propose

Conflict Mineral Customer [321] edit mode (08/23/2013)

Details

Company Conflict Mineral Customer [321]
Organisation unit Conflict Mineral Customer [321]
Recipient status edit mode
Supplier Code 12-345-6789
Assigned numbers Browse...

Number
12345
23456
34567
45678
56789

Release and Propose Initiation

- While in “Edit Mode”, the CMD Version Number contains digits right of the decimal.
- When “sent” to a customer or customers, the CMD is Released, the Version becomes a Whole number, and no further edits are permitted.
- This ensures a specific CMD ID and version contains the same information for all.
- A released CMD must be “copied” to a new version for edits or changes.
- To start the release and propose process, click on **Propose**.
- The propose first runs a mandatory automatic check of the CMD for errors.

Name Demo CMD - 1 ID / Version 240 / 0.01 Node ID 240 Status Edit mode



Propose




CM Demo 2 [112] edit mode (07/31/2012)

Checking for Errors

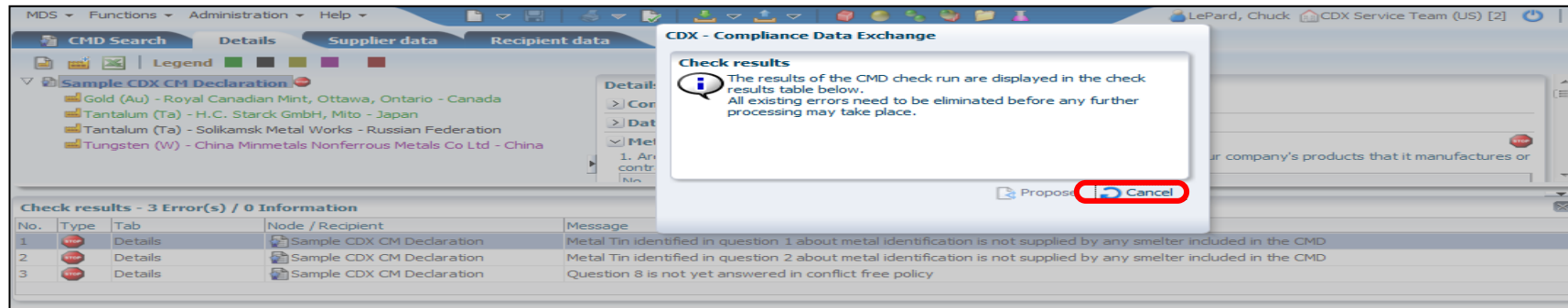
- Error check is analogous to a word processor spell-check, as it finds many errors, but does not replace human judgment.

Use it, but don't rely solely upon it!

- Checks can be performed optionally any time using the main toolbar  icon.
- Results of optional checks and the mandatory Release and Submit checks display in a new bottom pane, which can be resized or hidden as needed.
- All issues found during the check must be resolved before Release or Submission.

When no errors found, the **Propose** button will enable for internal CDX Submission.

When errors are found, read the popup, then press **Cancel** to remove and proceed.

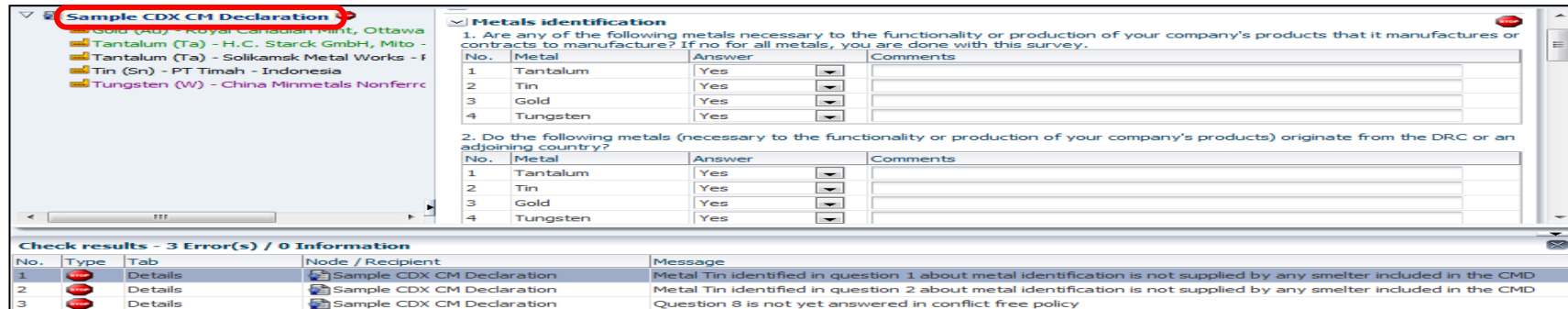


No.	Type	Tab	Node / Recipient	Message
1	Error	Details	Sample CDX CM Declaration	Metal Tin identified in question 1 about metal identification is not supplied by any smelter included in the CMD
2	Error	Details	Sample CDX CM Declaration	Metal Tin identified in question 2 about metal identification is not supplied by any smelter included in the CMD
3	Error	Details	Sample CDX CM Declaration	Question 8 is not yet answered in conflict free policy

Correcting Error Check Issues – 1 & 2

- CDX will display the tab upon which information for the highlighted error appears.
- Sometimes multiple errors may be corrected with a single corrective action.
- The obvious action is not always best. In this example, Errors 1 and 2 can be fixed by changing Metals Identification 1: Tin and 2: Tin to “No”. Is that reality?
Both errors can also be resolved by adding a single Tin Smelter. Which is correct?
- In this case, the company uses Tin, so the Tin smelter is identified & added.

Note: The error stays shown, even after it is fixed. Errors stay until “Checked” again.



Sample CDX CM Declaration

- Gold (Au) - Royal Canadian Mint, Ottawa
- Tantalum (Ta) - H.C. Starck GmbH, Mito -
- Tantalum (Ta) - Solikamsk Metal Works - F
- Tin (Sn) - PT Timah - Indonesia
- Tungsten (W) - China Minmetals Nonferroc

Metals Identification

1. Are any of the following metals necessary to the functionality or production of your company's products that it manufactures or contracts to manufacture? If no for all metals, you are done with this survey.

No.	Metal	Answer	Comments
1	Tantalum	Yes	
2	Tin	Yes	
3	Gold	Yes	
4	Tungsten	Yes	

2. Do the following metals (necessary to the functionality or production of your company's products) originate from the DRC or an adjoining country?

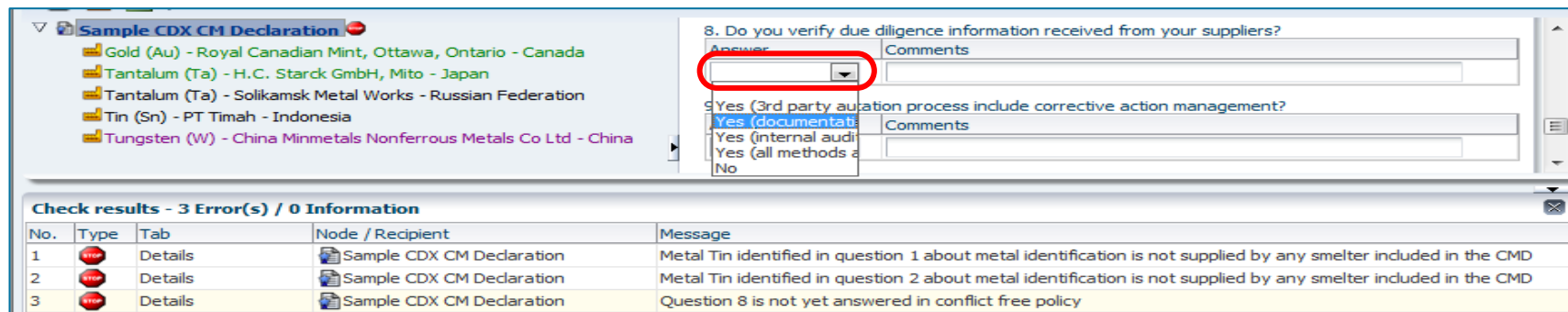
No.	Metal	Answer	Comments
1	Tantalum	Yes	
2	Tin	Yes	
3	Gold	Yes	
4	Tungsten	Yes	

Check results - 3 Error(s) / 0 Information

No.	Type	Tab	Node / Recipient	Message
1	Error	Details	Sample CDX CM Declaration	Metal Tin identified in question 1 about metal identification is not supplied by any smelter included in the CMD
2	Error	Details	Sample CDX CM Declaration	Metal Tin identified in question 2 about metal identification is not supplied by any smelter included in the CMD
3	Error	Details	Sample CDX CM Declaration	Question 8 is not yet answered in conflict free policy

Correcting Error Check Issues – 3

- Error 3 is a simple case of a conflict-free policy question not being answered. Selecting the true response is the only option to resolve this issue.
- Some of the CMD checks performs include:
 1. Do all required input fields have a value?
 2. If a metal in Metals Identification 1 & 2 is “Yes”, is a smelter listed?
 3. If Metals ID 1 is “No” for a metal, is Metals ID 2 also “No” for that metal?
 4. If Metals ID 1 is “No” for a metal, are Metals ID 3-6 for that metal blank?



The screenshot displays the 'Sample CDX CM Declaration' form. On the left, a list of metals and their sources is shown: Gold (Au) - Royal Canadian Mint, Ottawa, Ontario - Canada; Tantalum (Ta) - H.C. Starck GmbH, Mito - Japan; Tantalum (Ta) - Solikamsk Metal Works - Russian Federation; Tin (Sn) - PT Timah - Indonesia; and Tungsten (W) - China Minmetals Nonferrous Metals Co Ltd - China. The main form area contains questions 8 and 9. Question 8, 'Do you verify due diligence information received from your suppliers?', has a dropdown menu highlighted with a red circle. Question 9, 'Yes (3rd party audit process include corrective action management)?', has a dropdown menu with options: Yes (documented), Yes (internal audit), Yes (all methods), and No. The bottom section, 'Check results - 3 Error(s) / 0 Information', shows a table with three errors:

No.	Type	Tab	Node / Recipient	Message
1	stop	Details	Sample CDX CM Declaration	Metal Tin identified in question 1 about metal identification is not supplied by any smelter included in the CMD
2	stop	Details	Sample CDX CM Declaration	Metal Tin identified in question 2 about metal identification is not supplied by any smelter included in the CMD
3	stop	Details	Sample CDX CM Declaration	Question 8 is not yet answered in conflict free policy



Create a New CMD – Submission via CDX

Proposing to Your Customer(s)

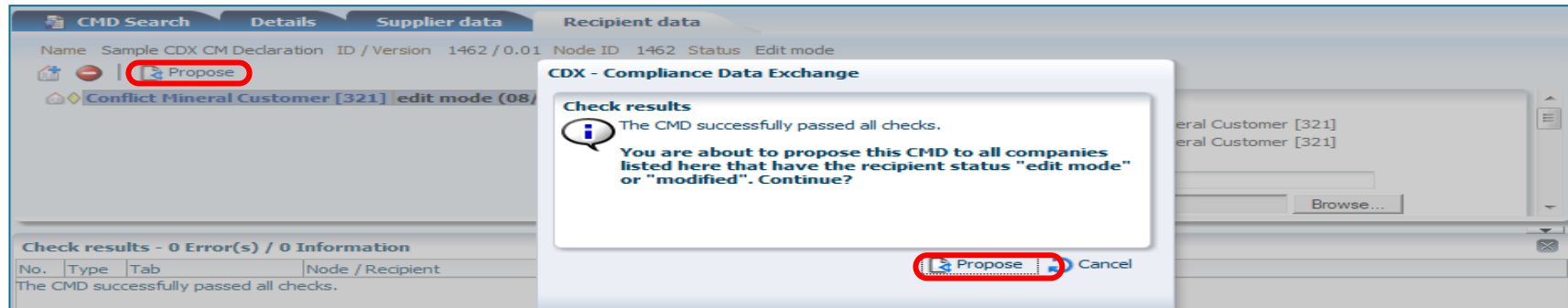
- Repeat the Check-Correct cycle until all errors are resolved.

If your company does not have CDX customers:

- Bypass 1 page of additional Internal Customer release content using this [Link](#).

If your company does have CDX customers:

- Return to the Recipients tab, and re-click on **Propose**.
- If all errors are corrected, a popup will invite confirmation of the CMD Proposal.
- **Note:** As the popup says, proposal is to all Edit or Modified status companies.
- Select the **Propose** button on the popup to proceed.



Successful Proposal

- When the proposed CMD is Proposed successfully, the CMD is also Released.
- The CMD Status changes to “Internally Released”.
- The CMD Version number changes to a whole number (1 for initial release)
- The CMD Version can no longer be edited.
It may be sent to additional customers, if only Recipient Data is needed.
- The Customer(s) status(es) change to “not yet browsed”.
This indicates the customer has not yet viewed the CMD.
- If there is no need to Export the CMD, this completes the CMD Creation process.

The screenshot displays the HP Conflict Mineral Declaration (CMD) interface. The main header shows the Name as 'Sample CDX CM Declaration', ID / Version as '1462 / 1', Node ID as '1462', and Status as 'Internally released'. Below this, a table lists the customer status: 'Conflict Mineral Customer [321]' with a status of 'not yet browsed (08/24/2013)'. A 'Details' panel on the right shows the following information:


Details	
Company	Conflict Mineral Customer [321]
Organisation unit	Conflict Mineral Customer [321]
Recipient status	not yet browsed
Supplier Code	-
Assigned numbers	-

A red box highlights the message at the bottom right: 'This CMD cannot be edited, because it is a full version (1).'



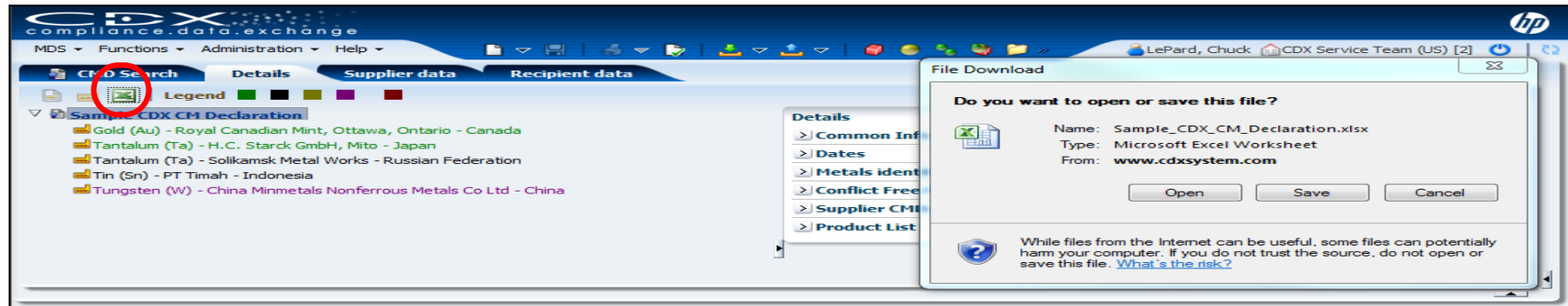
Create a New CMD – Submission via Export

Submission Outside CDX - Exporting a CMD

- A CDX license is required to Export.
- To export a CMD, display the CMD Details page.
- From the Details toolbar, Select Export to Excel. 
- If prompted, choose to Open or Save the resulting EICC-GeSI Template file.

Note: Your browser security settings must allow web pages to Export files.

Exporting the CMD completes the CMD Creation process.



Thank you

